



Deliverable 1.1: VoteCal System Project Management Plan and Schedule

VoteCal Statewide Voter Registration System Project

State of California, SOS



October 20, 2009
Version: 2.1

Work Product Acceptance Form

Catalyst Consulting Group is pleased to present the following VoteCal Project work product/deliverable. This work product is now complete and is ready for the Secretary of State to review and approve.

Work Product: Deliverable 1.1 VoteCal System Project Management Plan and Schedule

SOW Reference #: Attachment 1 Statement of Work
Exhibit 2: VoteCal System Tasks and Deliverables

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Secretary of State

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Table of Contents

1	Introduction.....	7
1.1	Purpose and Objectives	8
1.2	Scope	8
1.3	Standards	8
1.4	Assumptions, Dependencies, and Constraints.....	8
1.5	Document Control.....	9
2	Roles and Responsibilities	9
3	Project Description and Objectives.....	9
3.1	Project Description	9
3.2	Project Objective and Goals	10
4	Project Governance	10
5	Scope Management Plan	13
5.1	Introduction.....	13
5.1.1	Purpose and Objectives	13
5.1.2	Scope	13
5.1.3	Standards.....	13
5.1.4	Assumptions, Dependencies, and Constraints.....	13
5.1.5	Document Control	13
5.2	Roles and Responsibilities	14
5.3	Managing Project Scope	14
5.4	Managing Product Scope	15
6	Schedule Management Plan.....	16
6.1	Introduction.....	16
6.1.1	Purpose and Objectives	16
6.1.2	Scope	16
6.1.3	Standards.....	16
6.1.4	Assumptions, Dependencies, and Constraints.....	17
6.1.5	Document Control	17
6.2	Roles and Responsibilities	17
6.2.1	Catalyst Project Manager	17
6.2.2	SOS Project Manager	17
6.3	Approach to Schedule Planning	17

6.4	Approach to Schedule Management	18
6.5	Approach to Schedule Tracking and Reporting.....	19
6.6	Project Scheduling Tool.....	19
6.7	VoteCal Project Schedule.....	19
6.8	Action Items Tracking.....	19
7	Change Control Plan	21
8	Quality Assurance Plan	22
9	Risk Management Plan.....	23
10	Issue Management Plan	24
11	Software Version Control and Configuration Management Plan.....	25
12	Document Management Plan.....	26
12.1	Introduction.....	26
12.1.1	Purpose and Objectives	26
12.1.2	Scope	26
12.1.3	Standards.....	27
12.1.4	Assumptions, Dependencies, and Constraints.....	27
12.1.5	Document Control	27
12.2	Roles and Responsibilities	27
12.2.1	Catalyst Project Manager	27
12.2.2	Catalyst Document Manager.....	28
12.3	Types of Project Documents	28
12.4	Document Management Approach.....	28
12.4.1	Create Work Product Document	29
12.4.2	Review and Approve Work Product	29
12.4.3	Establish and Maintain Baseline	29
12.4.4	Store and Control Work Products.....	29
12.5	Documentation Standards.....	30
12.5.1	Document Versioning Scheme.....	30
12.5.2	Document Templates	30
12.5.3	Desktop Software Version.....	30
12.5.4	Document File Names.....	31
12.5.5	Document Management Policies.....	31
12.6	Electronic Document Management System (SharePoint)	31
13	Supplier Management Plan.....	32

13.1	Introduction.....	32
13.1.1	Purpose and Objectives	32
13.1.2	Scope	32
13.1.3	Standards.....	32
13.1.4	Assumptions, Dependencies, Constraints.....	32
13.1.5	Document Control	32
13.2	Roles and Responsibilities	33
13.2.1	Catalyst Resource Manager.....	33
13.2.2	Catalyst Infrastructure Lead	33
13.2.3	Catalyst Technical Lead	33
13.2.4	Catalyst Project Manager	33
13.3	Acquire Suppliers	33
13.4	Manage Suppliers.....	34
13.4.1	Managing Third Party Human Resources	34
13.4.2	Accepting Third Party Products.....	34
14	Resource Management Plan.....	35
14.1	Introduction.....	35
14.1.1	Purpose and Objectives	35
14.1.2	Scope	35
14.1.3	Standards.....	35
14.1.4	Assumptions, Dependencies, Constraints.....	35
14.1.5	Document Control	36
14.2	Roles and Responsibilities	36
14.2.1	Catalyst Resource Manager.....	36
14.2.2	Catalyst Project Manager	36
14.2.3	Catalyst Project Director.....	36
14.3	Plan Human Resources.....	36
14.4	Acquire Human Resources.....	36
14.5	Strengthen Human Resources	37
14.6	Managing Human Resources	37
	Appendix A – VoteCal Work Breakdown Structure.....	39
	Appendix B – VoteCal Project Schedule.....	54

1 Introduction

This document is Deliverable 1.1, the VoteCal System Project Management Plan and Schedule. It has been developed to the specifications presented in Deliverable Expectation Document (DED) 1.1, VoteCal System Project Management Plan and Schedule and as reviewed by SOS.

Throughout the remainder of this document, the Project Management Plan and Schedule will be referenced as the Project Management Plan (PMP) maintaining consistency with the Project Management Body of Knowledge (PMBOK) methodology and naming conventions.

The Catalyst PMP defines the overall processes, procedures, and tools for planning, managing, and controlling the Statewide Voter Registration System Project (known as VoteCal). By adhering to this plan, Catalyst will implement and use the proper management processes for monitoring and controlling the VoteCal project, thereby supporting achievement of the project's goals and objectives

The PMP integrates the project management processes into a single document. Catalyst has elected to incorporate the following plans that further define project management processes in this comprehensive PMP:

- Scope Management Plan
- Schedule Management Plan
- Document Management Plan
- Supplier Management Plan
- Resource Management Plan

These plans are incorporated into the PMP, in their entirety.

This PMP also incorporates the following deliverables specified in the VoteCal Statement of Work (SOW) by reference:

- Deliverable 1.3 – Quality Assurance Plan
- Deliverable 1.4 – VoteCal Software Version Control and System Configuration Management Plan
- Deliverable 1.5 – VoteCal System Issue Management Plan
- Deliverable 1.6 – VoteCal System Change Control Plan
- Deliverable 1.7 – VoteCal System Risk Management Plan
- Each of these plans has its own set of processes and tools. In summary the tools that will be used for project management of the VoteCal project are:
- Microsoft SharePoint 2007 – the SharePoint site created and maintained by Catalyst and used for document management
- Microsoft Project 2007 – used to document the VoteCal project schedule
- RequisitePro – used to document VoteCal project requirements and for configuration management of the requirements.
- JIRA – used to manage action items created by several processes.

1.1 Purpose and Objectives

The purpose of the Catalyst PMP is to provide an integrated view of all project management processes employed by Catalyst for the VoteCal Project. While some of the detailed plans are presented to SOS as separate documents all project management and supporting processes are identified in this plan. Project management processes which are not submitted as separate documents are detailed in this plan.

1.2 Scope

This PMP will focus on the processes, procedures, and tools to be used by Catalyst to plan, manage, and control the VoteCal project. The PMP will also identify where these processes intersect with corresponding processes that will be used by the SOS to plan, manage, and control the VoteCal project.

1.3 Standards

The project management processes and procedures included in this PMP are based on the Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute as the industry standard.

SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

1.4 Assumptions, Dependencies, and Constraints

The Project Management Plan and Schedule was developed on the basis of the following assumptions, dependencies, and constraints:

- The PMP and Schedule will focus on the activities, processes, and procedures of Catalyst's VoteCal system implementation effort and where there is the potential for direct impact to our scope, budget, schedule, or quality.
- The Secretary of State (SOS) and Catalyst have agreed upon the following prioritization for the individual PMPs that are submitted as separate deliverables:
 1. Project Management Plan and Schedule (this document)
 2. Issue Management Plan and Risk Management Plan
 3. Quality Assurance Plan
 4. Software Version Control and Configuration Management Plan
 5. Requirements Traceability Matrix and Gap Analysis Plan
 6. Communications Plan
 7. Change Control Plan
 8. Organizational Change Management Plan

- These separate project management plans were defined in the SOW and are subject to review and approval by the SOS. SOS and Catalyst are finalizing an agreement on the process for review and approval:
- There is a constraint on the Deployment and Cutover of the VoteCal system of 60 days prior to and 30 days after the February, June, and November 2012 elections.
- The schedule is dependent upon parties outside of Catalyst's control completing activities on time.
- The schedule assumes timely review and approval of project approval documents by SOS, the Department of Finance, Department of General Services, and state Office of the Chief Information Officer as appropriate.

1.5 Document Control

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved PMP will be placed under configuration management in accordance with the Document Management Plan (defined in this PMP). Also, in accordance with the Document Management Plan, the PMP will be stored on the SOS SharePoint server and available to the Project Team, the Independent Project Oversight Consultant (IPOC), Independent Verification and Validation (IV&V) vendor, and SOS senior management.

2 Roles and Responsibilities

There are roles and responsibilities specific to each plan and are addressed in each plan. The Catalyst Project Manager will have the overall responsibility for managing the Catalyst Project Team and for managing each of the processes defined in this PMP and its subsidiary plans.

3 Project Description and Objectives

SOS has developed a Project Charter for the VoteCal Project. This charter describes the background, objectives, and goals of the project. They are enumerated below.

3.1 Project Description

Section 303 of the Help America Vote Act (HAVA) of 2002 (Public Law 107-22, 107th Congress) mandates that each state implement a uniform, centralized, interactive, computerized voter registration database that is defined, maintained, and administered at the state level. This database must contain the name and registration information of every legally registered active or inactive voter in the state. This system will constitute the official record of all registered voters. The state database must serve as the single system for storing and managing the official list of registered voters in the state for federal elections. This project must provide a functional interface for counties, which are charged with conducting elections, to access and update voter registration data. The project may also entail remediation of existing county election management systems (EMS) so they can share data with the VoteCal database and, for county elections offices with a non-compliant EMS, changing the elections

office to a remediated or soon-to-be remediated EMS. Collectively, this functionality is the VoteCal Project.

3.2 Project Objective and Goals

The sole objective for the VoteCal project is to achieve full compliance with the HAVA requirements for voter registration. The stated goals for the project are:

- To create an official voter registration list.
- To uniformly apply voter registration laws.
- To provide public access to specific information.

Critical success factors that will increase SOS' ability to be successful are:

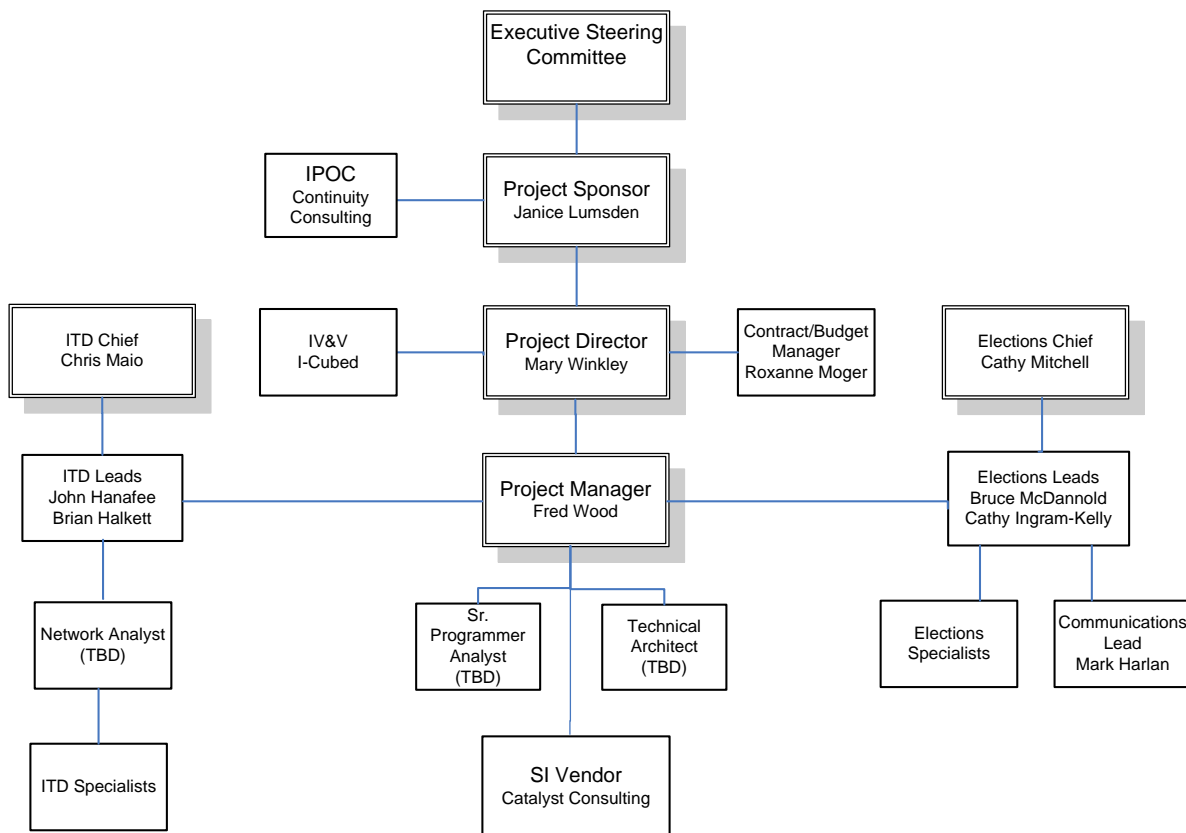
- Cooperative relationship with county elections officials
- Vendors' ability to bid and deliver a HAVA compliant system
- County EMS vendors' ability to remediate their systems to interface with VoteCal
- Sufficient funding being available

These critical success factors were identified in the VoteCal Project Charter.

4 Project Governance

The SOS has established a project governance structure and has defined that structure in the Special Project Report submitted in June 2009. This structure is illustrated in Exhibit 4-1.

Exhibit 4-1 SOS VoteCal Project Organization Chart



Catalyst has established a corresponding governance structure as illustrated in the following table.

Table 4-2 VoteCal Project Governance Structure

SOS Project Governance Role	Corresponding Catalyst Role
Executive Steering Committee – provides policy direction and is the final decision-making body of the project.	Catalyst Chief Executive Officer – provides corporate direction and policy decisions.
Project Sponsor – provides direct executive sponsorship of the project.	Project Executive – provides overall executive management of the VoteCal project.
Project Director – provides hands-on leadership to the SOS Project Team.	Project Director – provides hands-on leadership to the Catalyst Project Team.
Project Manager – provides day-to-day management and coordination for the SOS Project Team.	Project Manager – provides day-to-day management and coordination for the Catalyst Project Team.

SOS Project Governance Role	Corresponding Catalyst Role
SOS Core Team – Reviews and recommends approval of VoteCal project deliverables. Makes decisions on the conduct of the project. Elevates policy and project issues when necessary.	Catalyst Core Team – Supports the Catalyst Project Manager in the conduct of the project and makes detailed project decisions.

There are a number of other individuals and groups that are stakeholders in the VoteCal project, including:

- County election officials and their staff who will participate throughout the project development lifecycle and will use the VoteCal functionality.
- Stakeholder Advisory Committee consisting of county participants and other external stakeholders impacted by, or interested in the VoteCal project that provide periodic input.
- Other State Departments with whom VoteCal will have an interface to acquire data.
- Election Management System vendors who will be responsible for working with SOS and Catalyst to remediate their systems.
- IPOC who provides oversight and audit activities to identify and make the Project Teams aware of best practices and encourages the employment of those practices.
- IV&V vendor who will provide technical review and verification of project deliverables.
- State control agencies with control and approval over budget, scope, schedule, and procurements.

A more comprehensive list of stakeholders is included in the SOS Project Charter and the SOS Communications Plan.

5 Scope Management Plan

Project scope management includes the processes required to determine that the project includes all the work required to complete the project. Scope management is primarily concerned with defining and controlling what is and not included in the project.

5.1 Introduction

This plan identifies the processes to manage and control the scope of the VoteCal project.

5.1.1 Purpose and Objectives

Scope Management defines the process and procedures for defining, confirming, verifying, and controlling project scope. The PMP documents those processes and procedures. A clearly defined scope promotes the stability required to achieve the project's goals.

5.1.2 Scope

There are two components to the overall scope of the VoteCal project:

- Project Scope – the work that needs to be accomplished to deliver the VoteCal system with the specified features and functions.
- Product Scope – the functions and features of the VoteCal system.

The intent of the Scope Management Plan is to document processes to manage both aspects of scope.

5.1.3 Standards

The project management processes described in the Scope Management Plan and implemented throughout the VoteCal project are based on the Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute.

The SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

5.1.4 Assumptions, Dependencies, and Constraints

The Scope Management Plan is based on the following assumptions dependencies, or constraints:

- The initial project scope includes all of the work products identified in the VoteCal Statement of Work.
- The initial product scope includes all of the requirements defined in Section VI of the VoteCal RFP.

5.1.5 Document Control

Project scope management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the PMP and its subsidiary plans will be reviewed at the end of each project phase, and updated as required.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved PMP will be placed under configuration management in accordance with the Document Management Plan (a subset of the PMP). Also, in accordance with the Document Management Plan, the PMP will be stored on the VoteCal project SharePoint repository (maintained by Catalyst) and available to the Project Team, the IPOC, IV&V vendor, and SOS senior management.

5.2 Roles and Responsibilities

The Catalyst Project Manager and the SOS Project Manager share the primary responsibility for the management of the scope of the VoteCal project, both project scope and product scope. As described in the subsequent paragraphs, both project and product scope is managed through the project management processes incorporated into this PMP. The specific roles and responsibilities for each of those processes are defined in the respective project plans.

5.3 Managing Project Scope

The scope of work for Catalyst in the design, development, and implementation of the VoteCal system is defined in the Statement of Work (SOW), which is Attachment 1 of the Contract between Catalyst and SOS. This SOW defines some 65 deliverables that constitute the scope of the VoteCal project.

Management of the project scope involves the processes to establish that all the work required, and only the work required, needed to successfully complete the project will be performed. These processes are defined in the project management plans incorporated into this PMP, either directly or by reference.

The identification of the activities (all the work required and only the work required) to complete these deliverables is defined in the Schedule Management Plan included in this PMP. This plan describes the processes for defining the activities, their duration and their sequencing.

The management of the deliverable content is through the use of DEDs. The DED describes the deliverable in terms of:

- Expected deliverable content
- Due date
- Acceptance criteria
- Standards for the deliverable
- Process and frequency for maintaining and updating the deliverable.

The DED will be submitted to SOS in advance of submitting the deliverable itself. The approval of the DED by SOS will form the basis by which SOS can review and approve the deliverable.

Where it is determined by SOS that additional deliverables over and above those identified in the SOW are needed, the changes to the Project Scope will be managed and controlled by the processes defined in the Change Control Plan, a deliverable submitted separately and referenced by this PMP.

5.4 Managing Product Scope

The VoteCal product is defined by a series of requirements identified in Section VI of the RFP and incorporated into the contract. These requirements include:

- The business requirements (“S” requirements)
- The technical requirements (“T” requirements)
- The VoteCal standard reports

These requirements will be validated during the Requirements Validation sessions between Catalyst and SOS. The validated requirements will be documented in the Requirements Traceability Matrix and will be tracked throughout the project. The process for managing the requirements is defined in the Requirements Traceability Matrix and Gap Analysis Plan, a deliverable submitted separately and referenced by this PMP.

The requirements baseline is created from the validated requirements and stored as a configuration item in the RequisitePro repository as defined in the Software Version Control and Configuration Management Plan, a deliverable submitted separately and referenced by this PMP.

Where it is determined that additional requirements for the VoteCal system are required, the changes to the Project Scope will be managed and controlled by the processes defined in the Change Control Plan, a deliverable submitted separately and referenced by this PMP.

6 Schedule Management Plan

Schedule management includes the processes and estimated time required to manage timely completion of the project. Action Items are low-level or ad hoc tasks that project personnel choose to track outside the formal project schedule. This section of the PMP also addresses how action items will be documented, tracked, and closed.

6.1 Introduction

The VoteCal Schedule Management Plan describes the processes for developing the project schedule, utilizing the schedule to track progress, and reporting project status to SOS senior staff and stakeholders. The VoteCal project has a “waterfall” lifecycle in which the project activities are organized into distinct phases, each phase feeding into the next phase. The project plan and schedule are organized around the seven phases defined in the VoteCal SOW:

- Phase 0 – Ongoing Process Tasks and Deliverables
- Phase 1 – Project Initiation and Planning
- Phase 2 - Design
- Phase 3 – Development
- Phase 4 - Testing
- Phase 5 – Pilot Deployment and Testing
- Phase 6 – Deployment and Cutover
- Phase 7 – First Year Operations and Closeout

6.1.1 Purpose and Objectives

The purposes of the Schedule Management Plan are to:

- Determine the VoteCal project schedule and
- Define the processes for managing and updating that schedule.

6.1.2 Scope

This Schedule Management Plan addresses the processes for developing, creating a baseline, maintaining, and reporting on the status of the project schedule. The Project Schedule itself is presented separately in this PMP in a Microsoft Project 2007 format.

6.1.3 Standards

The project management processes described in the Schedule Management Plan and implemented throughout the VoteCal project are based on the Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute.

The SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

6.1.4 Assumptions, Dependencies, and Constraints

The assumptions, dependencies, and constraints on the Schedule Management Plan were addressed in the overall assumptions, dependencies, and constraints for the Project Management Plan (see Section 1.4 of this document).

6.1.5 Document Control

Schedule management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the schedule management process will be reviewed at the end of each project phase, and the Schedule Management Plan will be updated as required.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved Schedule Management Plan will be placed under configuration management in accordance with the Document Management Plan (a subset of the PMP). Also, in accordance with the Document Management Plan, the Schedule Management Plan will be stored on the VoteCal project SharePoint repository maintained by Catalyst and available to the Project Team, IPOC, IV&V vendor, and SOS senior management.

6.2 Roles and Responsibilities

The following roles and responsibilities have been identified for the schedule management process.

6.2.1 Catalyst Project Manager

The Catalyst Project Manager has the primary responsibility to define the activities required to successfully complete the VoteCal project, along with their duration and sequencing and to use that to develop the Project Schedule for Catalyst. The Catalyst Project Manager will also enter these activities into the Schedule Management Tool (Microsoft Project 2007). Because of the dependencies between the Catalyst and SOS schedules, the Catalyst Project Manager shares responsibility for coordinating the overall integrated schedule with the SOS Project Manager.

6.2.2 SOS Project Manager

The SOS Project Manager has the primary responsibility to define the activities of the SOS Core Team and other members of the SOS VoteCal Project Team, along with their duration and sequencing and to use that to develop the Project Schedule for SOS. The SOS Project Manager will also enter these activities into the same Microsoft Project 2007 schedule Catalyst is using to develop the integrated schedule. Because of the dependencies between the Catalyst and SOS schedules, the SOS Project Manager shares responsibility for coordinating the overall integrated schedule with the Catalyst Project Manager.

6.3 Approach to Schedule Planning

To the extent possible, the Catalyst and SOS activities will be scheduled and managed in an integrated manner. The Catalyst activities and schedule will be created first, the SOS activities will be added to the integrated schedule.

The first step in schedule planning is the creation of a work breakdown structure (WBS). A WBS is a work product-oriented hierarchical decomposition of the work to be accomplished. The WBS, at the highest level is the set of work products. The work products may be further refined into work packages. The WBS for the VoteCal project is presented graphically in Appendix A of this document.

The initial schedule planning will be performed on a *rolling wave* basis. The fundamental concept underlying rolling wave planning is to develop a high-level schedule for the project lifecycle at the outset of the project and then refine and add more detail at the beginning of each project phase. The rolling wave planning approach defers the time and effort of building detail plans to a period when a more appropriate level of information is available to properly develop detailed plans.

Creation of a baseline schedule is the final step in schedule planning. Catalyst will submit its schedule to SOS as a deliverable. The SOS will integrate its schedule (along with IV&V tasks) into the Catalyst schedule. Once the integrated schedule is approved, the schedule baseline will be created.

6.4 Approach to Schedule Management

The Catalyst and SOS Project Managers will monitor the schedule on a weekly basis and update as needed. Updating the schedule means entering the percent complete into the schedule management tool for activities in progress. Activities that are 100 percent complete are identified as completed activities. The Catalyst and SOS Project Managers will update the percent complete on their respective activities in the integrated schedule. Because the activities are intended to define the work to produce work products, the completion of work products will provide evidence of activity completion.

As the weekly monitoring is performed, the Catalyst and SOS Project Managers may identify schedule slippage on critical path tasks, they will work together to identify ways of getting the project back on schedule. Although the Catalyst and SOS Project Managers will work closely together, there may be situations in which they do not agree on the approach to recover from the schedule slippage. If such a situation occurs, the Catalyst and SOS Project Managers may escalate the issue to the Catalyst and SOS Project Directors. If the Project Directors cannot agree, the issue can be further escalated to the SOS Project Sponsor and the Catalyst Project Executive.

The schedule status will be included in the weekly status report. The dashboard on the weekly status report will show stoplight colors under the following schedule status conditions:

- Green indicates that less than 5 percent of the tasks on the critical path in the baseline schedule are overdue.
- Yellow indicates that 5 percent or more but less than 10 percent of the tasks in the baseline schedule are overdue.
- Red indicates that 10 percent or more of the tasks in the baseline schedule are overdue.

The Catalyst and SOS Project Managers will report immediately to the Catalyst and SOS Project Directors if they determine that any of the phase end milestones are at risk of being missed.

The VoteCal schedule will be refined during the project lifecycle. Under the rolling wave approach, as more information becomes available the schedule can be refined to reflect the updated information. For example, as the VoteCal design is developed, more information regarding the detailed approach to development will be available and the Development Phase aspect of the schedule can be refined.

Revisions to a baseline schedule, however, will not be permitted in the ordinary course of the Project. Revisions are defined as changes to schedule baseline. There may be reasons to make revisions to

the baseline schedule, such as when a phase-end milestone will be missed. Such revisions will be managed and controlled by the processes defined in the Change Control Plan, a deliverable submitted separately and referenced by this PMP.

6.5 Approach to Schedule Tracking and Reporting

Catalyst will manage resources and track resource activity through control lists separate from the project scheduling tool.

Milestone progress will be monitored through the project scheduling tool. Progress against phase-ed milestones will be reported in the Monthly Project Status Report. Status reporting based on the work breakdown structure (deliverable status reporting) will be included in both the weekly and monthly status reports.

The Catalyst and SOS Project Managers may maintain project contingency reserves (schedule-based reserves). The Catalyst and SOS Project Managers will report immediately to the Catalyst and SOS Project Directors if it is necessary to use such reserves due to schedule slippage.

6.6 Project Scheduling Tool

SOS and Catalyst have agreed upon the use of Microsoft Project 2007 as the project scheduling tool.

6.7 VoteCal Project Schedule

The Catalyst Project Manager has prepared the VoteCal Project Schedule which includes the Catalyst activities required to successfully produce the deliverables and work products defined in the SOW along with the closely related but high-level SOS activities, such as deliverable review and approval. This schedule is presented in Appendix B of this document.

SOS will identify its own VoteCal project tasks and determine the schedule for those tasks. The Catalyst and SOS Project Managers will integrate the schedules to form the baseline schedule.

6.8 Action Items Tracking

Action items are tasks and activities regularly undertaken when deploying a project that Project Team members choose to track outside the project schedule or associated control lists.

The Catalyst Document Manager will maintain an action item tracking repository for Catalyst action items on the VoteCal SharePoint repository maintained by Catalyst but available to the SOS Project Team. SharePoint refers to these as *tasks*, and it is this feature of SharePoint that will be used in documenting and tracking action items.

The *Tasks* feature of SharePoint allows any Project Team member to enter an action item and assign it to anyone on the Project Team. The Catalyst Document Manager will produce weekly reports by team member and due date of action items assigned. The Catalyst and SOS Project Managers will review the report and take any actions necessary. Such actions may include:

- Updating the action item as complete
- Reassigning an action item to obtain timely resolution
- Changing the priority on an action item
- Documenting the action item on weekly and monthly status reports if the due date is imminent

- Escalating the action item to the SOS and Catalyst Project Directors if necessary to obtain completion of the action item

The SharePoint task feature allows the following attributes for an action item:

- Title
- Priority (High, Normal, Low)
- Status (Not Started, In Progress, Completed, Deferred, Waiting on Someone Else)
- Percent Complete
- Assigned To
- Description
- Start Date
- Due Date

7 Change Control Plan

The VoteCal System Change Control Plan has been submitted as Deliverable 1.6 under a separate cover.

8 Quality Assurance Plan

The Quality Assurance Plan has been submitted as Deliverable 1.3 under a separate cover.

9 Risk Management Plan

The Risk Management Plan has been submitted under a separate cover as Deliverable 1.7.

10 Issue Management Plan

The Issue Management Plan has been submitted under a separate cover as Deliverable 1.5.

11 Software Version Control and Configuration Management Plan

The VoteCal Software Version Control and Configuration Management Plan has been submitted under a separate cover as Deliverable 1.4.

12 Document Management Plan

The purpose of document management is to establish and maintain the integrity of document-based work products.

12.1 Introduction

This Document Management Plan describes the tools and processes to manage and store document work products throughout the project lifecycle. The term *document* refers to an artifact created by a team member using a desktop application (Microsoft Word, Microsoft Excel, Microsoft PowerPoint, Microsoft Visio, Microsoft Project, or Adobe Acrobat). A *document-based work product* is a document that is the result of a project activity or task and must be stored for subsequent retrieval.

Although the document management process is similar to, and considered a part of the overall configuration management process, it is specific to document-based work products and does not include software.

12.1.1 Purpose and Objectives

The purpose of the VoteCal Document Management Plan is to:

- Define the document management lifecycle and corresponding activities
- Define roles and responsibilities related to document management
- Define the infrastructure used by the project to accomplish document management
- Define the standards for document preparation and review
- Define the methods for document change control and version control
- Define the approach to document storage, backup, and retention

12.1.2 Scope

This Document Management Plan is focused on the management and storage of documents produced by Catalyst during the VoteCal project lifecycle.

There are two categories of documents:

- Deliverables
- Work Products

Deliverable documents are defined by the VoteCal SOW as numbered deliverables, or have been added to the SOW through the Change Control Process. These documents are formally approved through the review and approval process.

Work products are not contract requirements and are often the intermediate products. Work products in the VoteCal project include:

- Deliverable Expectation Documents (although DEDs are formally approved, they are an interim work product leading to the preparation of a deliverable)
- Comments provided as a result of a review of a deliverable by the SOS Core Team

- Formal meeting minutes
- Reports generated by the any of the project management tools
- Presentations to stakeholders

12.1.3 Standards

The project management processes described in the Document Management Plan and implemented throughout the VoteCal project are based on the Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute.

The SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

12.1.4 Assumptions, Dependencies, and Constraints

In addition to the overall assumptions, dependencies, and constraints defined in Section 1.4 of this document, the Document Management Plan is based on the following assumptions, dependencies, and constraints:

- Documents that have a baseline will be scanned, along with the acceptance and approval documentation, and will be stored in Portable Document Format (PDF).
- The VoteCal Project glossary will be maintained as a document. The SOS Project Team will assume responsibility for maintenance of that document, but will provide read access to Catalyst.

12.1.5 Document Control

Document Management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the document management process will be reviewed at the end of each project phase, and the Document Management Plan will be updated as required.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

12.2 Roles and Responsibilities

The following roles and responsibilities have been identified for the document management process.

12.2.1 Catalyst Project Manager

The Catalyst Project Manager has the overall responsibility for maintaining the integrity of Catalyst-produced documents, both deliverables and work products, for the VoteCal project. The Catalyst Project Manager establishes the rules and requirements for document management. Those rules are defined in this plan.

12.2.2 Catalyst Document Manager

The Catalyst Document Manager will have the responsibility for maintaining the document management repository and determining that all required documents are stored in the repository and accessible to all Catalyst and SOS Project Teams as needed.

12.3 Types of Project Documents

As stated previously, a document is any artifact created by a Catalyst team member using a desktop application. There are a variety of documents that are generated by the Catalyst team members. This section identifies the types of documents that must be retained in the document management repository.

The Catalyst Document Manager will establish this document repository which will reside in the SharePoint application established and maintained by Catalyst for the VoteCal Project. Although primarily intended for use by Catalyst Team Members, SOS Team Members will also have access to this repository.

The following are project documents that must be retained in this repository:

- Draft deliverables submitted to SOS for review
- Final deliverables submitted to SOS for review and approval
- Approved deliverables
- Updated deliverables based on the review and update cycle
- Draft deliverable expectation documents submitted to SOS for review
- Final deliverable expectation documents submitted to SOS for review and approval
- Approved deliverable expectation documents
- Monthly and weekly status reports
- Meeting minutes
- Documentation supporting actions taken regarding risks and issues
- Documentation supporting completion of action items
- Presentations prepared for external stakeholder consumption

The Catalyst Project Manager may determine that other documents should be retained. The SOS Project Manager can recommend that documents be retained, but these should be approved by the Catalyst Project Manager.

There will be document-based work products produced throughout the VoteCal Project that should be retained in a shared repository for access by both Catalyst and SOS Project Team Members. Such work products could include use cases and other design artifacts and test cases and other testing artifacts.

12.4 Document Management Approach

As mentioned previously, this Document Management Plan is focused on the management of the VoteCal deliverables and work products for the Catalyst Project Team and is not applicable to the SOS Project Team. The approach to Catalyst document management involves the following processes:

- Create documents
- Review and approve documents
- Establish and maintain baseline
- Store and control documents

12.4.1 Create Work Product Document

The document is created, and document content is added by the document owner(s). Typically these initial drafts will be stored on the owner's own hard drive.

These documents in progress will be subject to collaboration and quality assurance reviews within the Catalyst environment and will not be stored on the document repository maintained by Catalyst and accessible by SOS Team Members.

When Catalyst determines that the document is ready for sharing (e.g., for SOS review and approval process), the document will be loaded to the document repository.

12.4.2 Review and Approve Work Product

Document work products with a version level of 0.x will be subject to Catalyst own internal review and approval process.

VoteCal project deliverables, as defined by the Statement of Work, are subject to the SOS review and approval process, described in Section 1.4 of this PMP.

12.4.3 Establish and Maintain Baseline

Certain documents, such as the numbered deliverables defined in the Statement of Work, will have a baseline after completion of the review and approval process. Once the deliverable is approved, the document, along with the signed acceptance form and related documents (e.g., the related DED) will be scanned and a Portable Document Format (PDF) will be created. Both the native and PDF versions of the document will be archived to the SOS SharePoint site and will constitute the baseline for the deliverable.

It is important to note that the "official" version of any deliverable is the baseline version in PDF format. Because the native version could be changed, it is not considered the baseline.

If subsequent revisions to the document are needed, such as updates to the Project Management Plans on Phase boundaries, there is a release of the baseline and creation of a new baseline. See the Software Version Control and Configuration Management Plan for more detail on releasing and creating baselines.

12.4.4 Store and Control Work Products

Document work products and deliverables are archived to the SharePoint repository maintained by Catalyst. For approved deliverables, the PDF baseline version of documents will be stored within its own folder along with the deliverable acceptance document, relevant correspondence and a version of the document in its native format.

Interim and draft versions of document work products may be purged from the SharePoint project site in accordance with retention requirements agreed upon by the SOS and Catalyst Project Managers.

Documentation created and used by the project on an ongoing basis will be stored with all other project documents on SharePoint maintained by Catalyst. Documents submitted to SOS for review or approval will be archived to the SharePoint site maintained by Catalyst. (SOS has its own process and site for the project library, which the SOS will speak to in its Project Management Plan.)

In addition, each document will maintain its own individuality with respect to the specific project event it is documenting. For example, weekly meetings will be saved using the title of the meeting and the date of the meeting (i.e. VoteCal Weekly Status Report 20090924 or VoteCal Weekly Developer Review Meeting Minutes 20091031).

The process for reviewing, accepting and archiving documents and deliverables for the VoteCal Project serve to ensure that the deliverable versioning is aligned with the latest approved document versions.

The Catalyst Document Manager will have the responsibility to make sure that all official documentation is properly versioned and stored on the SharePoint site managed by Catalyst. To that end, the Catalyst Document Manager will conduct periodic audits of the Catalyst SharePoint libraries to make sure that project work products are properly stored, versioned, and protected.

12.5 Documentation Standards

The following section presents the documentation standards being applied to documentation being produced for use with the VoteCal Project.

12.5.1 Document Versioning Scheme

Catalyst has established the following versioning scheme for documents:

- Level 0.x – Interim documents that have are being developed by Catalyst team members. These may be work products being developed as deliverables. However, they have not been submitted to SOS.
- Level 1.x – Documents submitted to SOS as draft deliverables or work products requiring SOS review (e.g., DEDs)
- Level 2.x – Documents that have been submitted to SOS as final deliverables or work products.
- Level 3.x or higher – Documents that have updated in accordance with the maintenance and update plan contained within the document.

12.5.2 Document Templates

The Catalyst Document Manager will create templates for use by the Catalyst team members to facilitate the creation of documents. The Catalyst Document Manager will be responsible for maintaining and updating these templates as needed.

12.5.3 Desktop Software Version

The SOS standard for desktop software is as follows:

- Microsoft Excel – 2003 Version
- Microsoft PowerPoint – 2003 Version
- Microsoft Project – 2007 Version
- Microsoft Word – 2003 Version

- Microsoft Visio – 2007 Version

Because Catalyst uses 2007 versions of most desktop software, deliverables submitted to SOS for review and approval must be “saved down” to the 2003 version.

12.5.4 Document File Names

All documents must be named using a specific standard. The following are the specifications for the file naming formula for each type of file. Following each specification are some examples.

Deliverables Submitted to SOS – {Document Type}{space}{Deliverable Number}{space}{Document Name}{v9.9}{Extension}.

Note that certain deliverables, such as weekly and monthly status reports, are time sensitive and will have the applicable date {yyyymmdd} embedded at the end of the file name.

Examples of file names are:

- DED 1.1 PMP and Schedule v1.0.doc
- Deliverable 1.1 PMP and Schedule v2.0.doc
- Weekly Status Report 20090924.doc

Due to limitations in the workstation operating systems, document authors are granted the latitude to shorten a file name provided that it still has meaning. Thus, the deliverable name, *Software Version Control and System Configuration Management Plan* can be shortened to *Configuration Management Plan* for file naming purposes.

12.5.5 Document Management Policies

The Public Records Act (PRA), as defined in Government Code Section 6251 et seq., is a term that refers to the ability for any member of the public to request access to public documents produced by or for California state government. The SOS has established a policy that all documents produced by or for SOS are public documents unless there is a compelling reason not to make such documents public. Because Catalyst does not consider most interim work products to be public, Catalyst will restrict the documents that are placed on the document repository to those identified in Section 12.3 of the Document Management Plan.

The Catalyst and SOS Project Managers will create and maintain a VoteCal System Project glossary. This document will be created as Microsoft Word table and maintained as a separate document.

While copies of this glossary may be copied and stored in other repositories, the official version will be maintained in SOS repository.

12.6 Electronic Document Management System (SharePoint)

Catalyst will create and maintain Microsoft SharePoint as the standard document repository for the Catalyst documents created for the VoteCal project. This SharePoint repository will be resident in the VoteCal infrastructure being created by Catalyst. The documents stored in this repository will be available to the Catalyst and SOS Project Team members, the IPOC, IV&V vendor, and SOS senior management.

13 Supplier Management Plan

Suppliers are third parties who provide products and/or services to Catalyst in support of successful completion of the VoteCal project.

13.1 Introduction

Managing suppliers involves the processes to acquire products, services, or results from third parties. Such third parties may include:

- Subcontractors providing services in the form of human resources
- Subcontractors providing product components that will be used in the VoteCal product
- Hardware and other product vendors who provide products for the project
- Software vendors who provide commercial off-the-shelf software for use in the VoteCal project or in the VoteCal product.

13.1.1 Purpose and Objectives

The purpose of the Supplier Management Plan is to define those procurement and contract management processes to manage the acquisition of products, services, or results from third parties.

13.1.2 Scope

This plan encompasses the third party suppliers who provide products, services, or results to Catalyst for purposes of the VoteCal project. This plan does not encompass other suppliers who provide products or services directly to the SOS.

13.1.3 Standards

The project management processes and procedures included in this PMP are based on the Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute as the industry standard.

SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

13.1.4 Assumptions, Dependencies, Constraints

Other than those identified in Section 1.4 of this document, there are no assumptions, dependencies, or constraints specific to the Supplier Management Plan.

13.1.5 Document Control

Project scope management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the PMP and its subsidiary plans will be reviewed at the end of each project phase, and updated as required.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved PMP will be placed under configuration management in accordance with the Document Management Plan (a subset of the Project Management Plan). Also, in accordance with the Document Management Plan, the PMP will be stored on the SharePoint server and available to the Project Team, the Independent Project Oversight Consultant, Independent Verification and Validation vendor, and SOS senior management.

13.2 Roles and Responsibilities

The following roles and responsibilities have been identified for the Supplier Management Plan.

13.2.1 Catalyst Resource Manager

As a part of the overall human resource management, the Catalyst Resource Manager will be responsible for the acquisition of subcontractors who provide services to the VoteCal project. As the project needs specific skills that cannot be acquired within Catalyst, the Resource Manager has the responsibility to seek those skills through subcontractors.

The Catalyst Resource Manager will also serve as the contract manager. All contracts, whether for human resources or products will be negotiated, executed, and managed by the Catalyst Resource Manager. As contract manager, the Catalyst Resource Manager will also be responsible for supplier invoicing and payment.

13.2.2 Catalyst Infrastructure Lead

Because of the need for acquisition of hardware and software products for the VoteCal project, the Catalyst Infrastructure Lead has a particular role to identify the products that are needed, order the products, arrange for the delivery of the products and installation of products for use. If assistance is needed from the supplier, the Catalyst Infrastructure Lead has the responsibility to obtain that assistance.

13.2.3 Catalyst Technical Lead

The Catalyst Technical Lead has the responsibility for the technical design and development of the VoteCal product. In this role, the Technical Lead is responsible to identify the need for technical human resources or products. The Technical Lead has the responsibility to advise the Catalyst Resource Manager of such needs.

13.2.4 Catalyst Project Manager

The Catalyst Project Manager has overall responsibility for project performance in accordance with the schedule. In this role, the Catalyst Project Manager has overall responsibility for timely delivery of third party products, services, or results.

13.3 Acquire Suppliers

Whether it is added human resources or hardware and software products, the Catalyst Project Team will plan for the acquisition of third party resources. Much of the planning for these resources occurred during the development of Catalyst's proposal in response to the VoteCal RFP.

In addition to the identification of the need for suppliers, the Catalyst Team identified many of the specific suppliers and the type of contracts needed to acquire the products or services. Catalyst will enter into a written contract with each supplier specifying the scope of work for the supplier, the rate of payment, and the timing of payment.

13.4 Manage Suppliers

The two aspects of managing third party suppliers are:

- Managing third party human resources
- Evaluating and accepting third party products

13.4.1 Managing Third Party Human Resources

Typically, third party human resources are individuals with skill sets needed by the Catalyst Project Team that are not available within the company. Individual human resources are integrated into the Catalyst Project Team and are managed in a manner similar to Catalyst's internal human resources, including performance reviews.

13.4.2 Accepting Third Party Products

Evaluating and accepting hardware and off-the-shelf software involves applying normal quality control procedures as the products are installed and tested. A key to these quality control procedures is the development and execution of testing procedures to validate that the components operate properly in their intended environments.

Where such products are to be integrated components of VoteCal, the acceptance testing process is more rigorous. VoteCal requirements are traced to the product components to verify that the product meets the requirements. In addition, the Catalyst test team will develop specific acceptance testing scenarios and test scripts to verify that the product component works, to verify that the product component meets the VoteCal requirements it is intended to address, and to validate that it works in its intended environment, including full integration with the VoteCal product.

14 Resource Management Plan

The Resource Management Plan includes the processes that organize, manage, and lead the Catalyst VoteCal Project Team.

14.1 Introduction

Managing project staff entails project leadership providing human resources with direction, guidance, and support while the team performs work with a clear goal of meeting the project's schedule and budget. The results from following a defined human resources management strategy are more effective communications, improved staff performance, increased quality levels in deliverables and work products, and increased control of schedule and budget performance.

14.1.1 Purpose and Objectives

The objective of the Resource Management Plan is to define how Catalyst will plan for, acquire, strengthen, and manage the human resources assigned to the VoteCal project.

14.1.2 Scope

This Resource Management Plan is focused on the Catalyst human resources and does not address the processes for SOS to acquire and manage human resources.

14.1.3 Standards

The project management processes and procedures included in this PMP are based on the Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute as the industry standard.

SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

14.1.4 Assumptions, Dependencies, Constraints

The Resource Management Plan is based on the following assumptions, dependencies, or constraints:

- If resignation or other events causes a Catalyst individual in a key role to be unavailable, Catalyst must provide a timely replacement with same or higher level of skills as the staff person leaving the project. Catalyst will make every effort to find a replacement within 60 calendar days of the individual leaving the key position. If Catalyst is unable to find a suitable replacement within 60 days, the Catalyst and SOS Project Directors will assess the impact on the project and determine a course of action.
- SOS has the right to approve replacement staff before they begin working on the project; Catalyst assumes that SOS will review such requests within 5 business days of submission by Catalyst so as to not negatively affect the VoteCal project schedule.

14.1.5 Document Control

Project scope management is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the PMP and its subsidiary plans will be reviewed at the end of each project phase, and updated as required.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved PMP will be placed under configuration management in accordance with the Document Management Plan (a subset of the PMP). Also, in accordance with the Document Management Plan, the PMP will be stored on the SharePoint server and available to the Project Team, the Independent Project Oversight Consultant, Independent Verification and Validation vendor, and SOS senior management.

14.2 Roles and Responsibilities

The following roles and responsibilities have been identified for the Resource Management Plan.

14.2.1 Catalyst Resource Manager

The Catalyst Resource Manager has the responsibility to recruit human resources for the VoteCal project. The Resource Manager will identify needed resources, will identify candidates and conduct initial interviews. If other members of the Catalyst Project Team need to participate in the interviews, the Resource Manager will make the appropriate arrangements.

The Catalyst Resource Manager is also responsible for developing, maintaining, and updating the VoteCal Project policies and procedures manual.

14.2.2 Catalyst Project Manager

The Catalyst Project Manager provides support to the Resource Manager as needed and will participate in interviews of key staff.

14.2.3 Catalyst Project Director

The Catalyst Project Director provides final approval of human resource acquisition for the VoteCal project and approves the policies and procedures manual.

14.3 Plan Human Resources

The planning for human resources for the VoteCal project was initiated while Catalyst was preparing the proposal. During the Project Initiation and Planning Phase, Catalyst is refining that resource planning.

14.4 Acquire Human Resources

Human resource acquisition will occur throughout the VoteCal Project's lifecycle, with human resources being hired at various times. A core team will start at the beginning of the project while others will be brought on just prior to certain work starting. Additionally, new resources may be brought in to replace existing human resources. Where such replacements involve key personnel, as defined in the Request

for Proposals, Catalyst will bring the resume of the replacement key person to SOS as soon as feasible. SOS must approve any replacements to key personnel.

Human resources for the project can be acquired through new hires, by contracting with third parties, or by contracting directly with individuals with needed skill sets.

The overall process for acquisition of human resources involves the following steps:

- Identify resource needs
- Identify candidates
- Interview candidates
- Select one or more of the candidates

14.5 Strengthen Human Resources

During the course of the project, the Catalyst Project Manager and Project Director will be responsible for strengthening the competencies of the team's resources through training and performance reviews. These efforts will promote increased productivity and effectiveness of the team.

The process for strengthening human resources is:

- Identify the skills required for the VoteCal project
- Inventory the skills available on the team
- Identify gaps in skills
- Determine training needs of Catalyst project staff based on the gaps
- Obtain training for identified Catalyst staff

14.6 Managing Human Resources

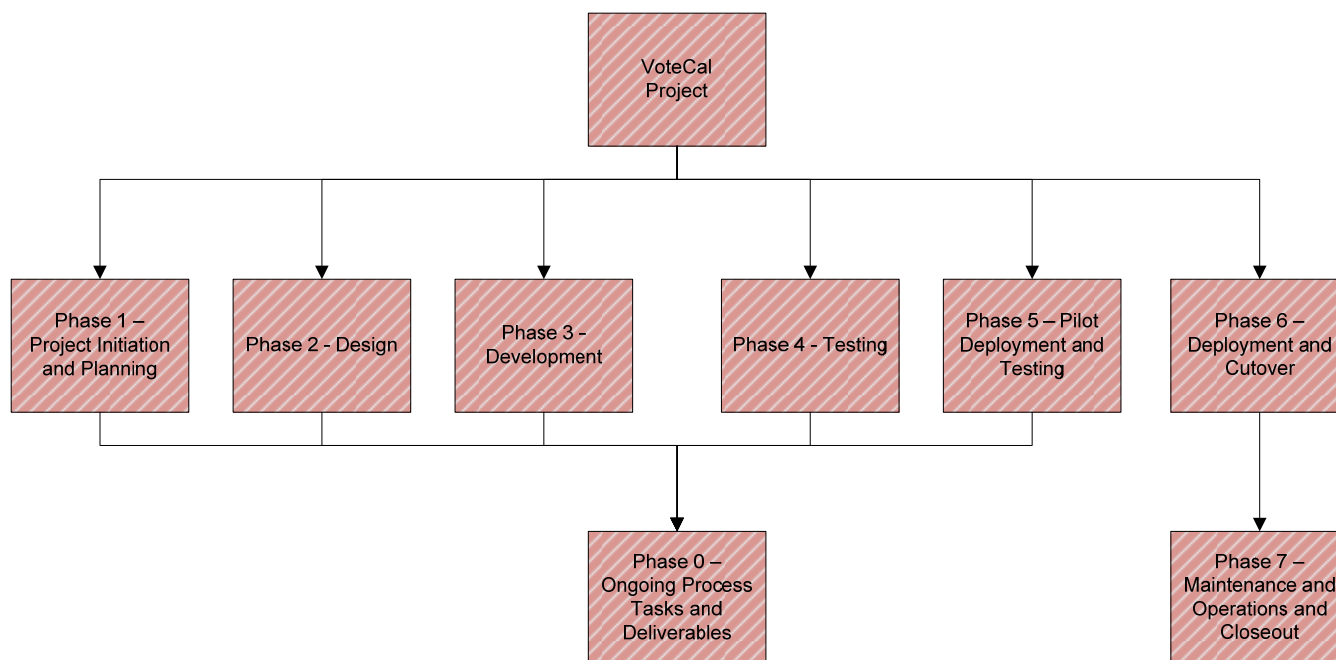
The Catalyst Team Leads will be responsible for making individual assignments on the VoteCal project. The Catalyst Project Manager and Catalyst Resource Manager will coordinate across teams as needed.

Appendices

Appendix A – VoteCal Work Breakdown Structure

The following pages present the detailed Work Breakdown Structure (WBS) for the VoteCal project as agreed upon by the Catalyst and SOS Project Managers.

Project Overview



Legend

Catalyst

SOS

SOS and Catalyst

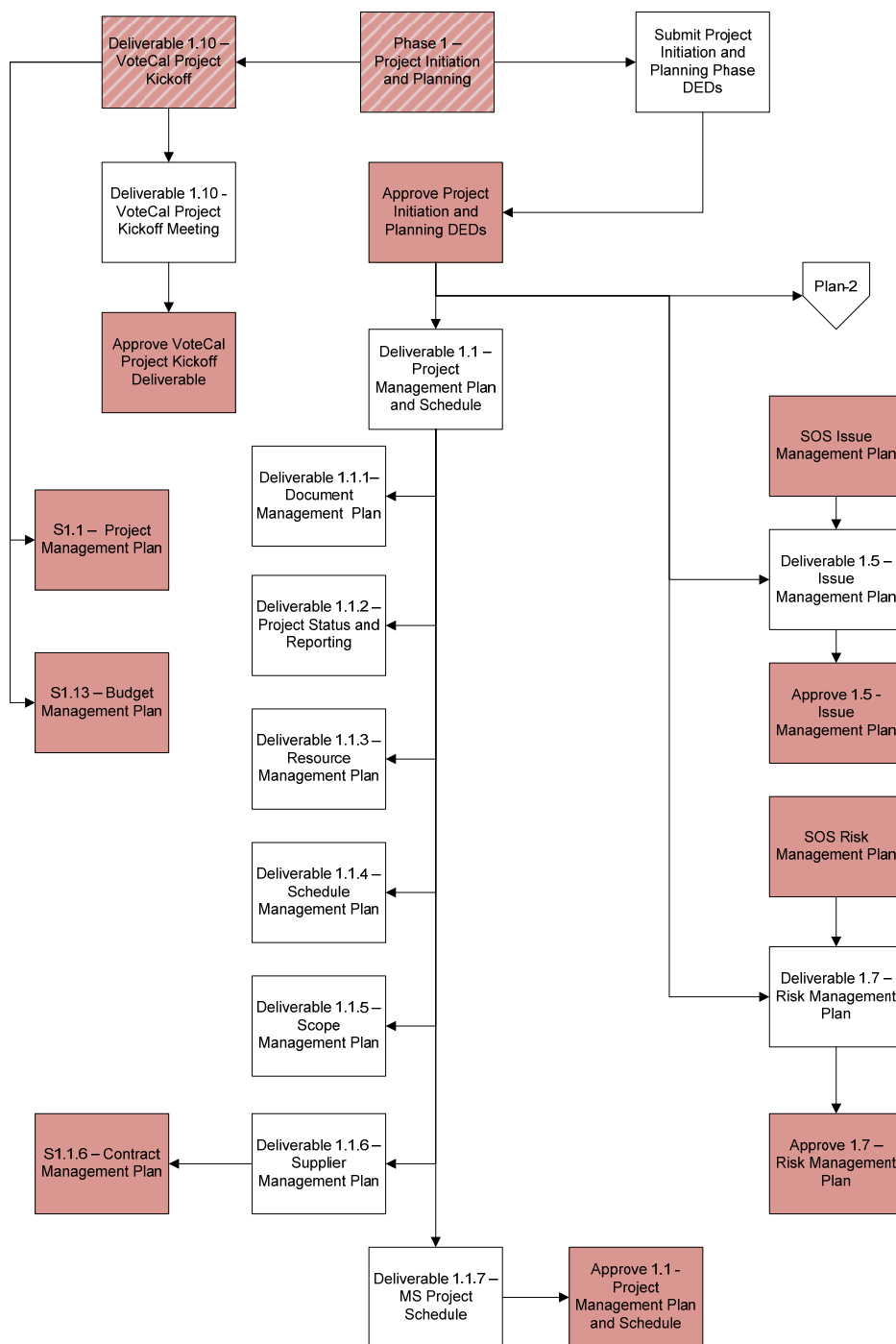
Activities

Used as a placeholder for activities

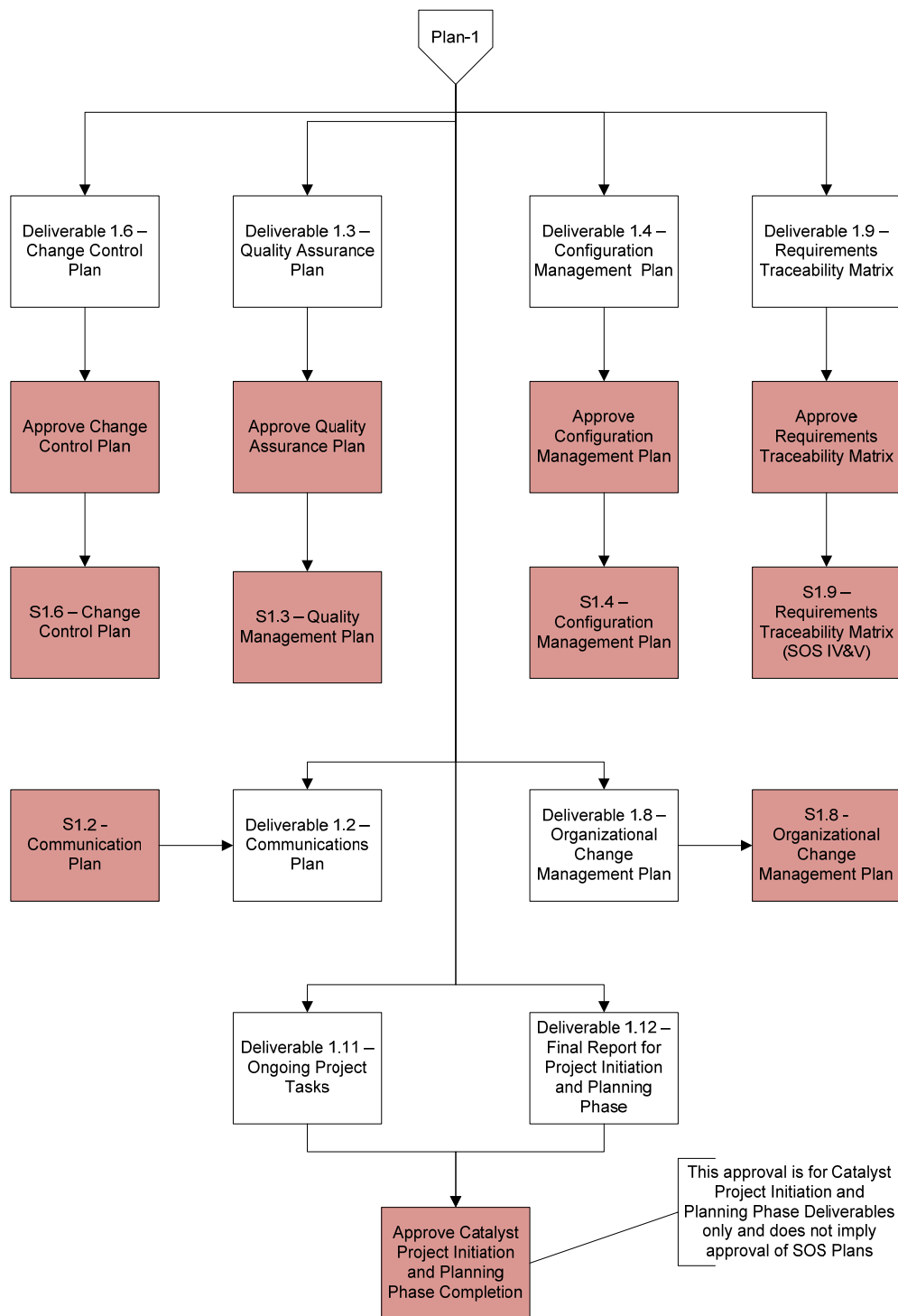
Activities

Activities with participants other than Catalyst and SOS

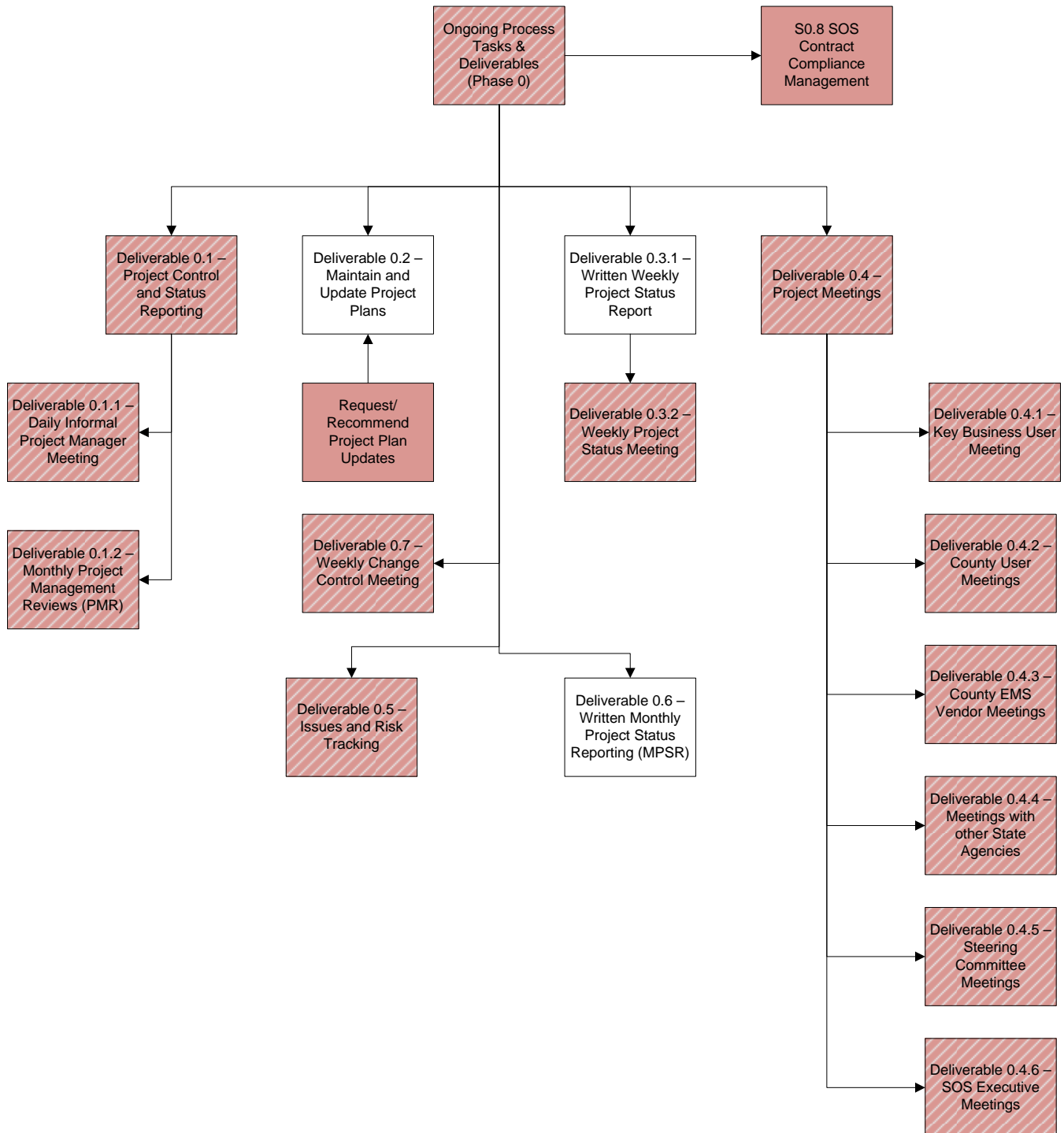
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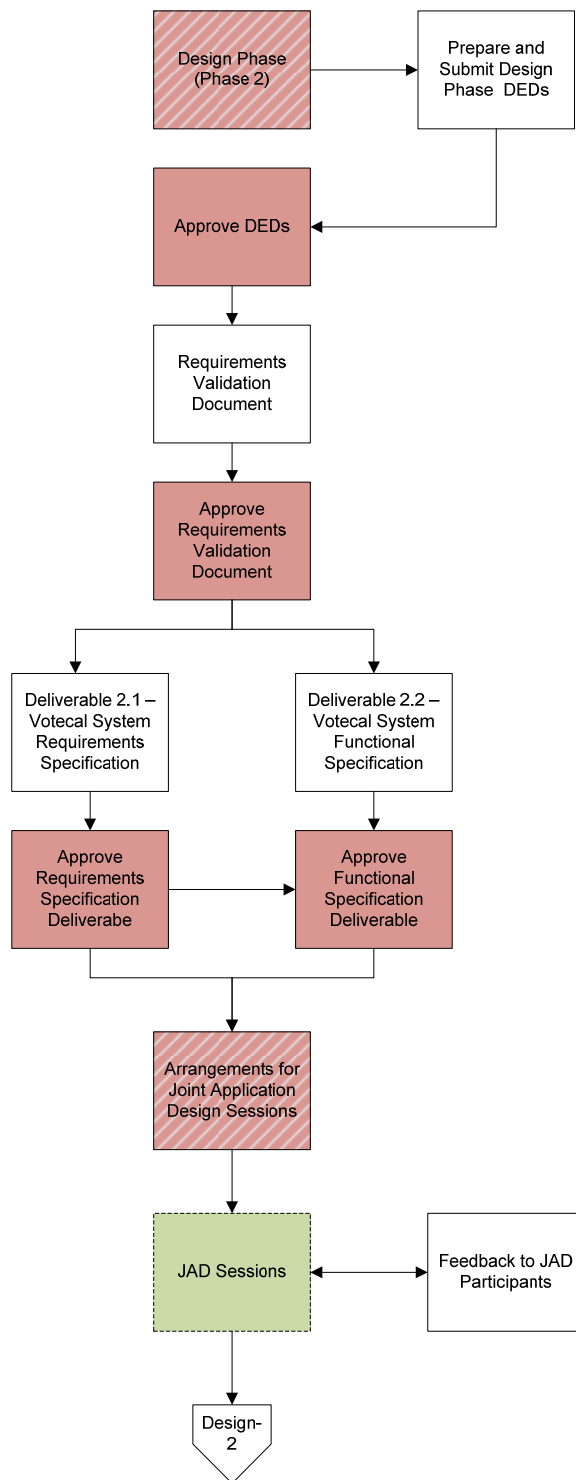
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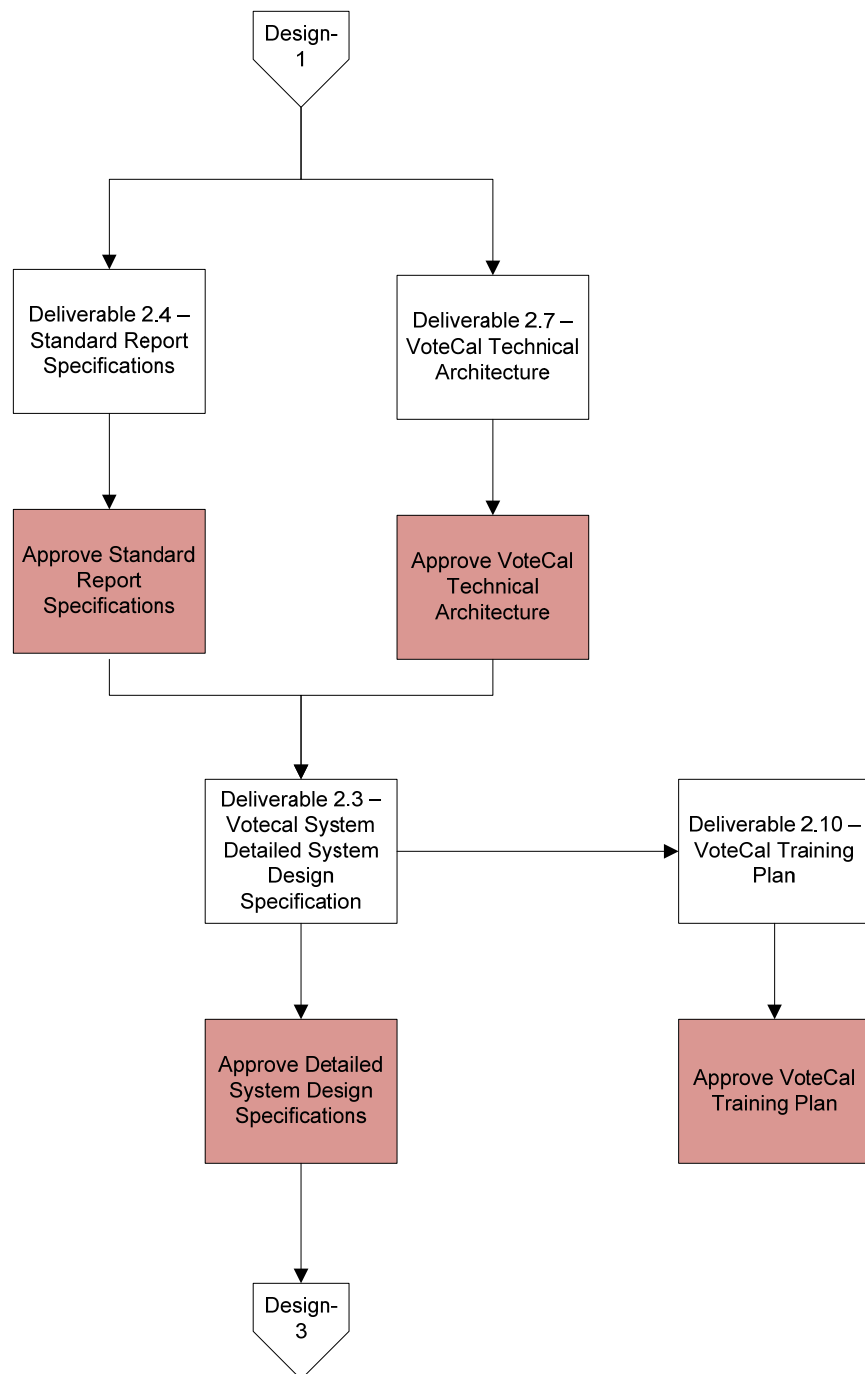
Ongoing Process Tasks and Deliverables



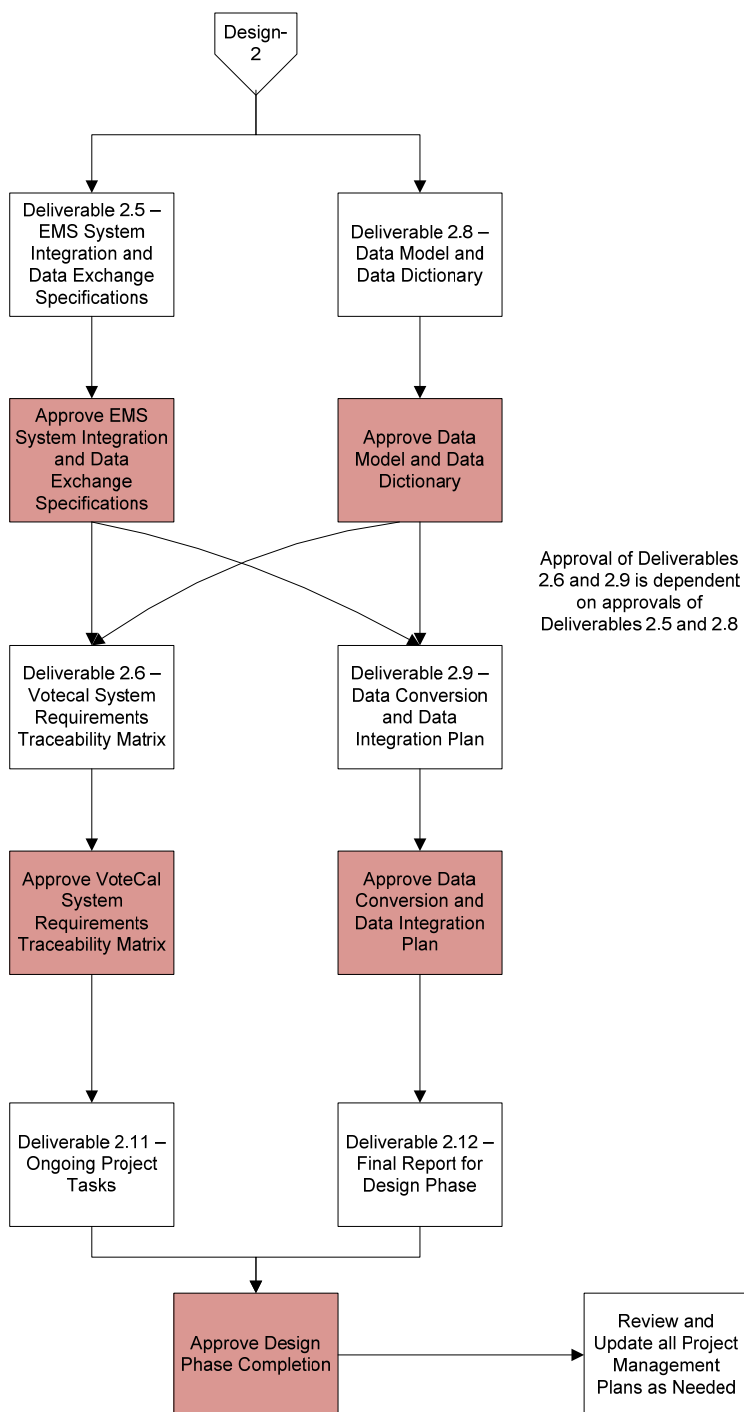
Design Phase (Design-1)



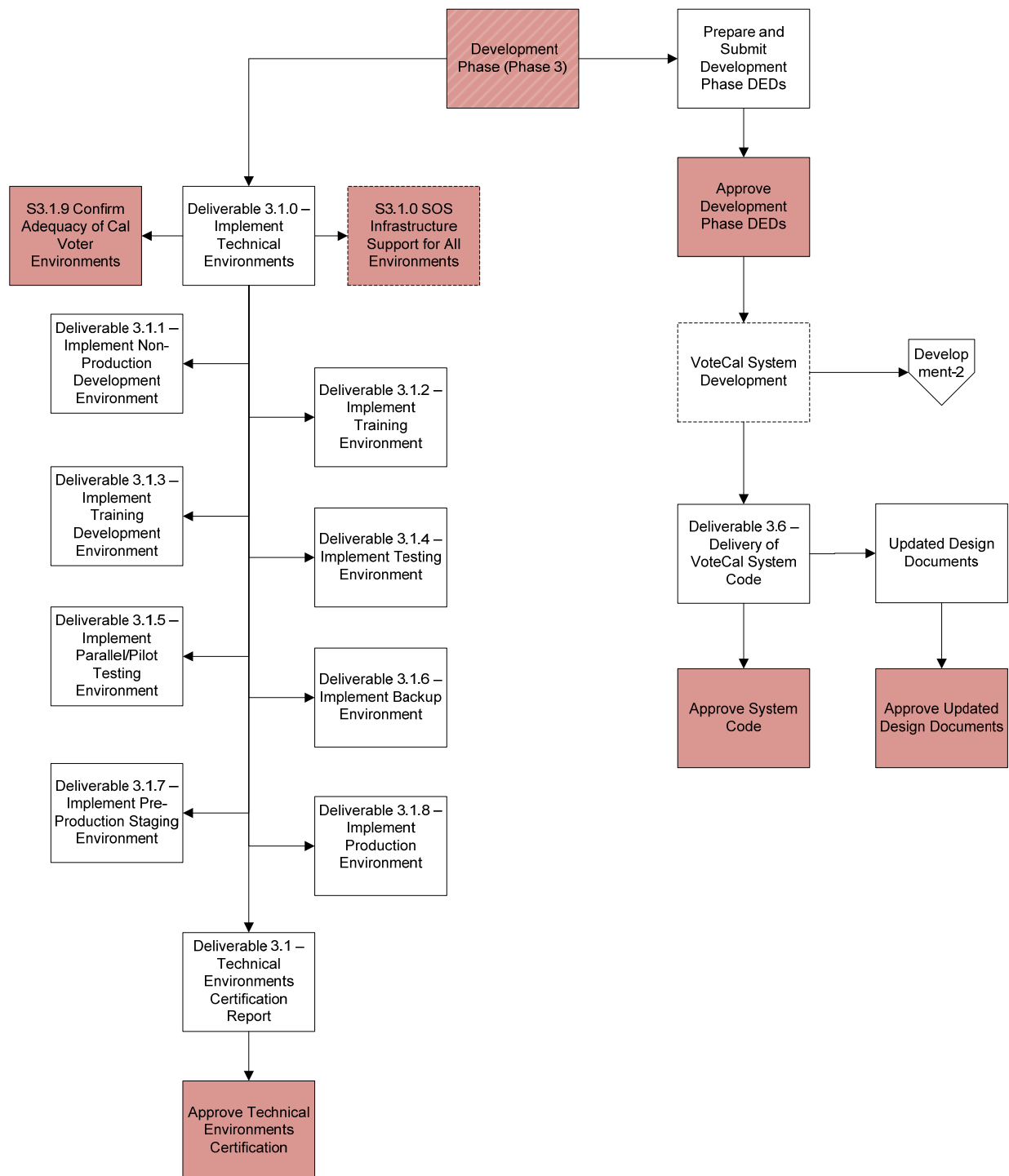
Design Phase (Design-2)



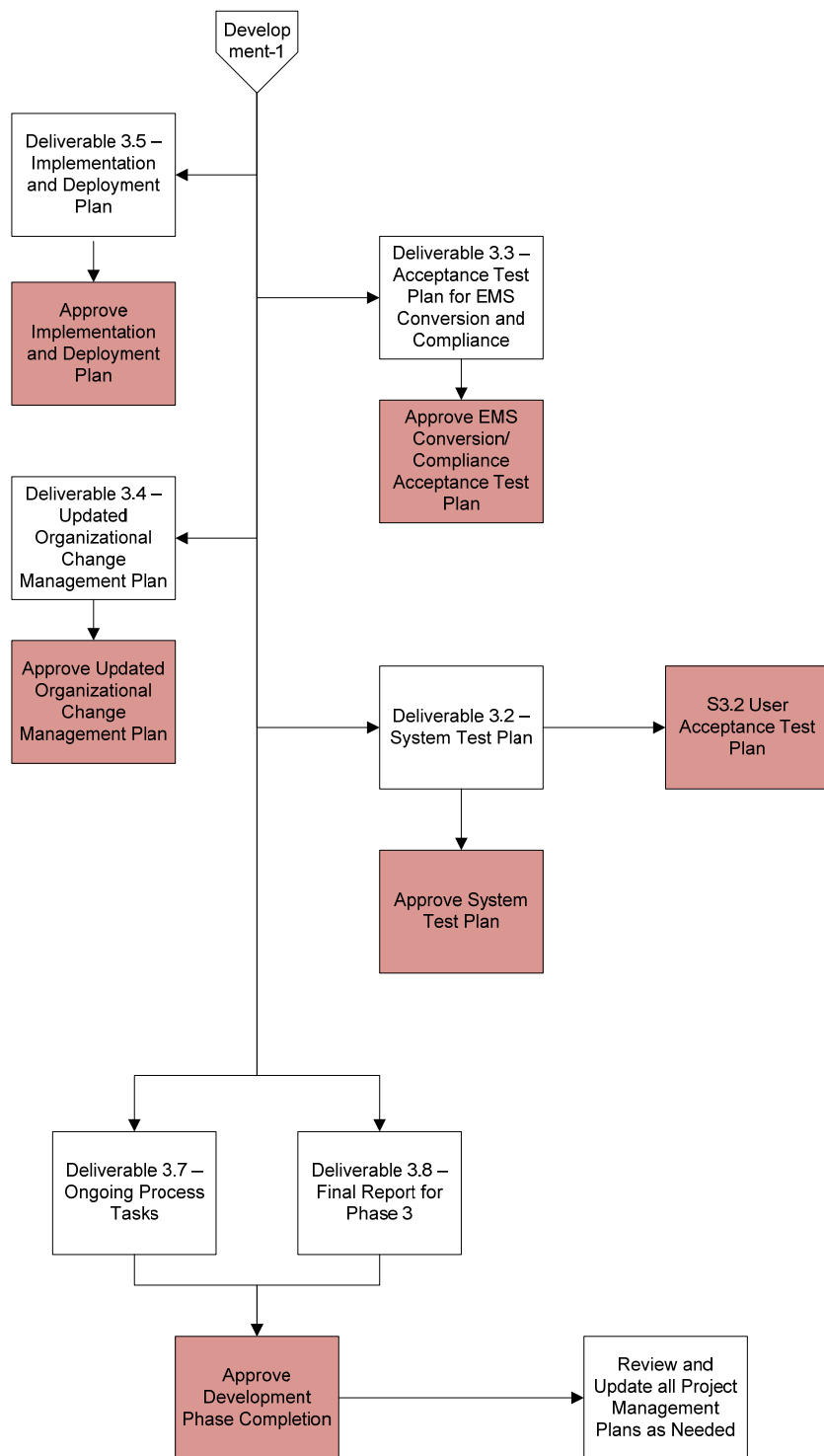
Design Phase (Design-3)



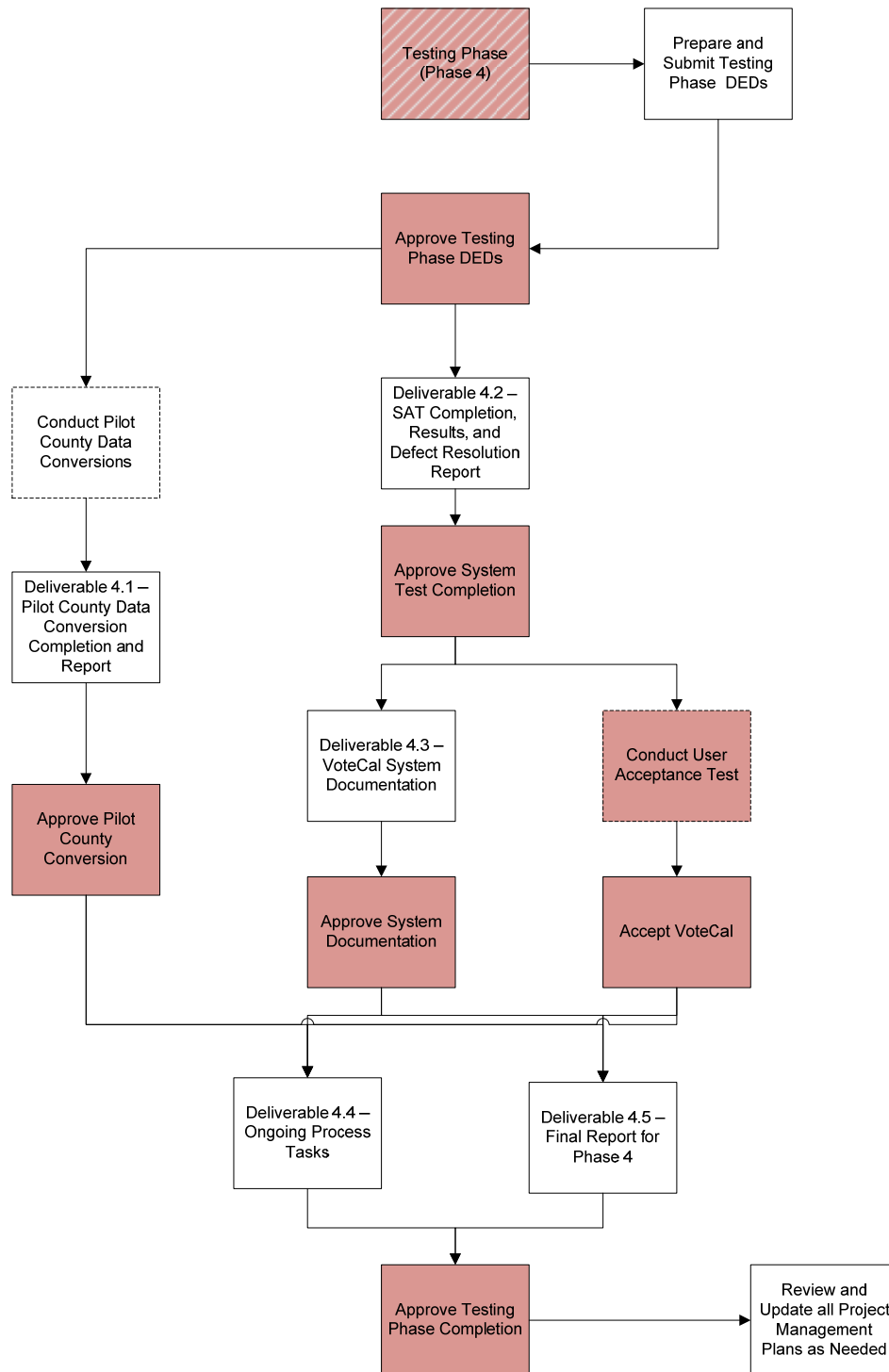
Development Phase (Development-1)



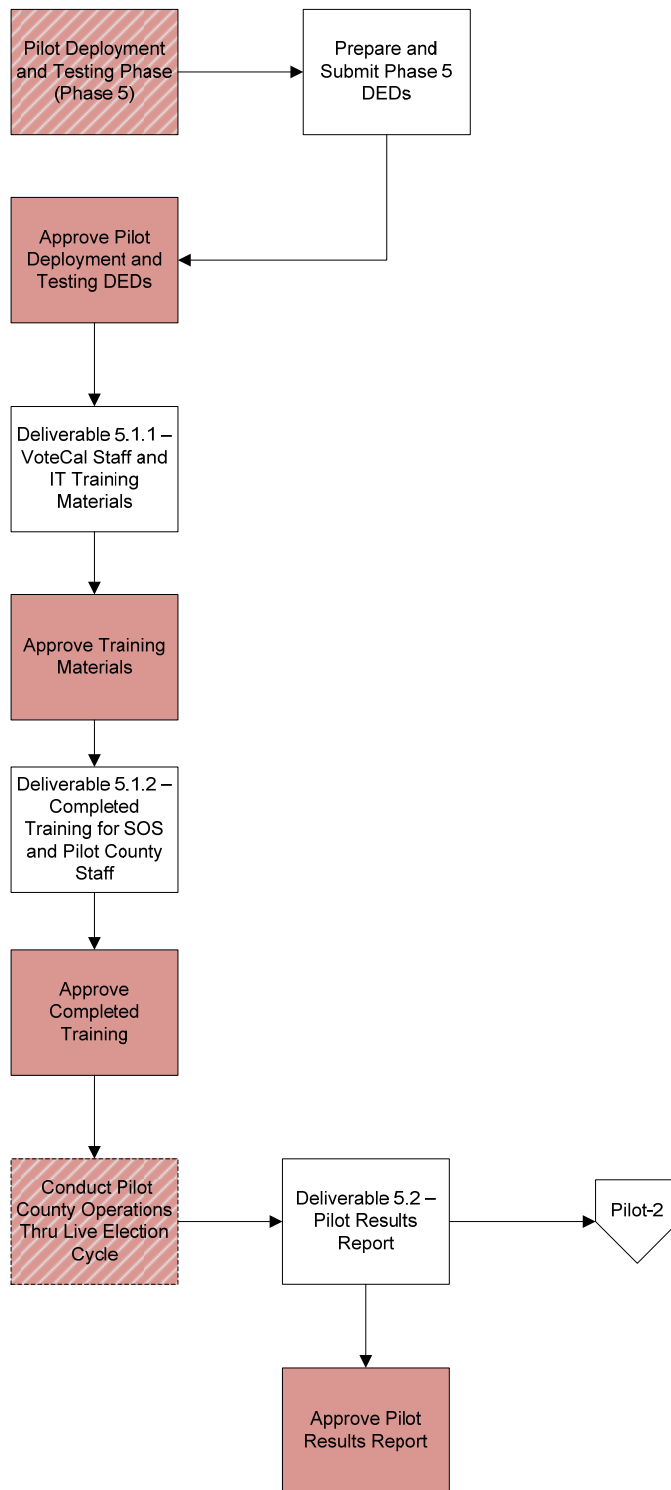
Development Phase (Development-2)



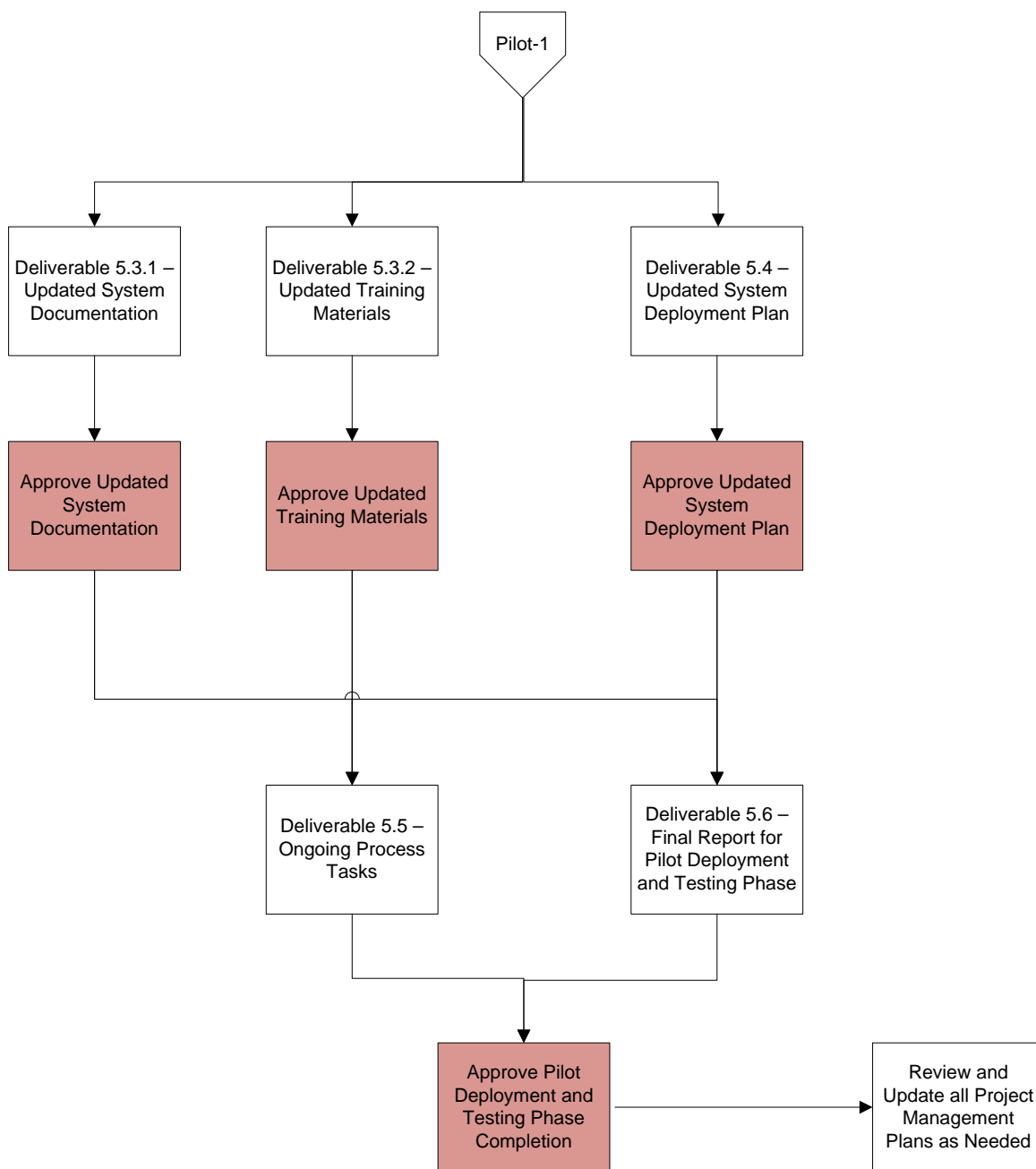
Testing Phase



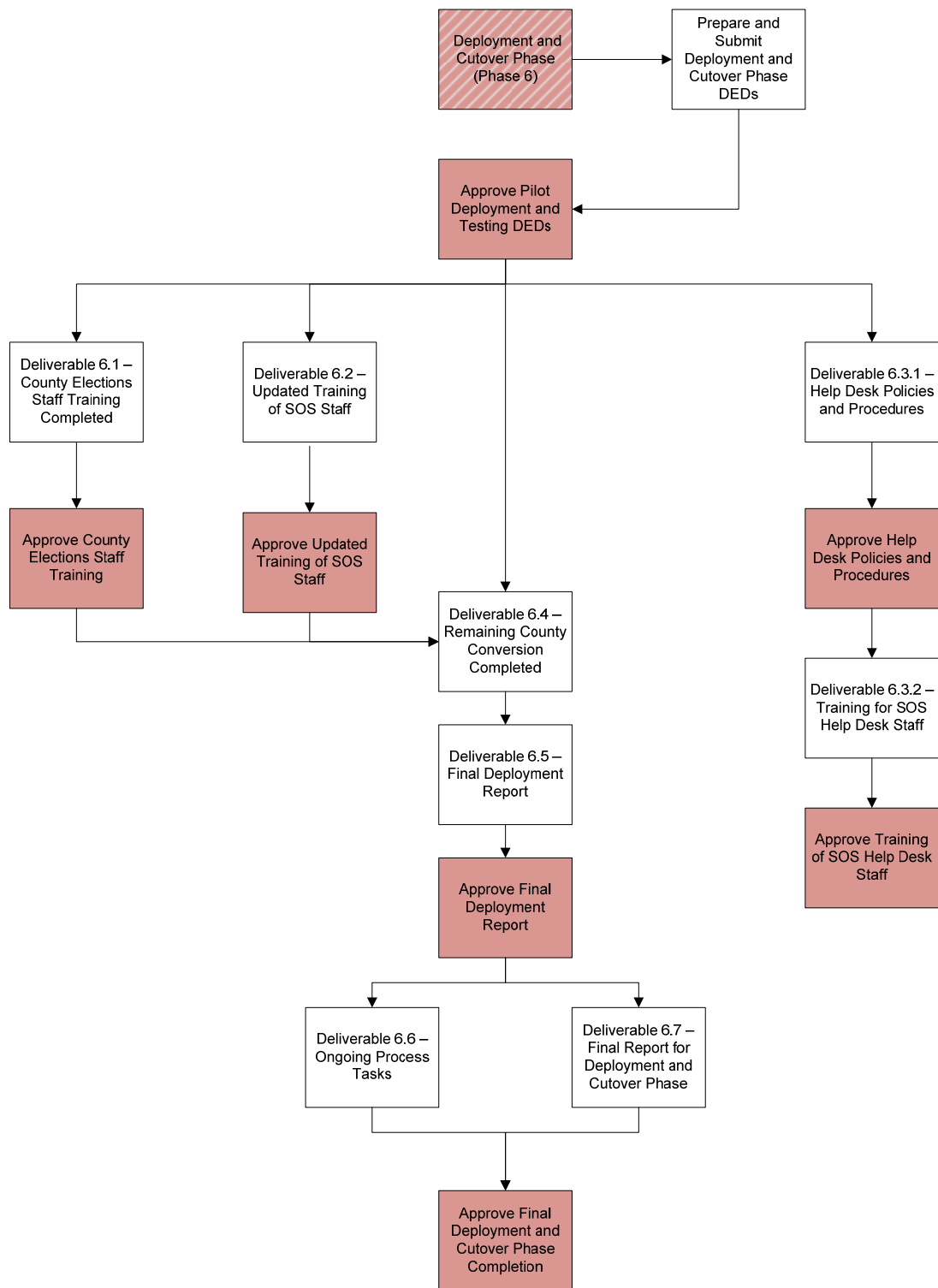
Pilot Deployment and Testing Phase (Pilot-1)



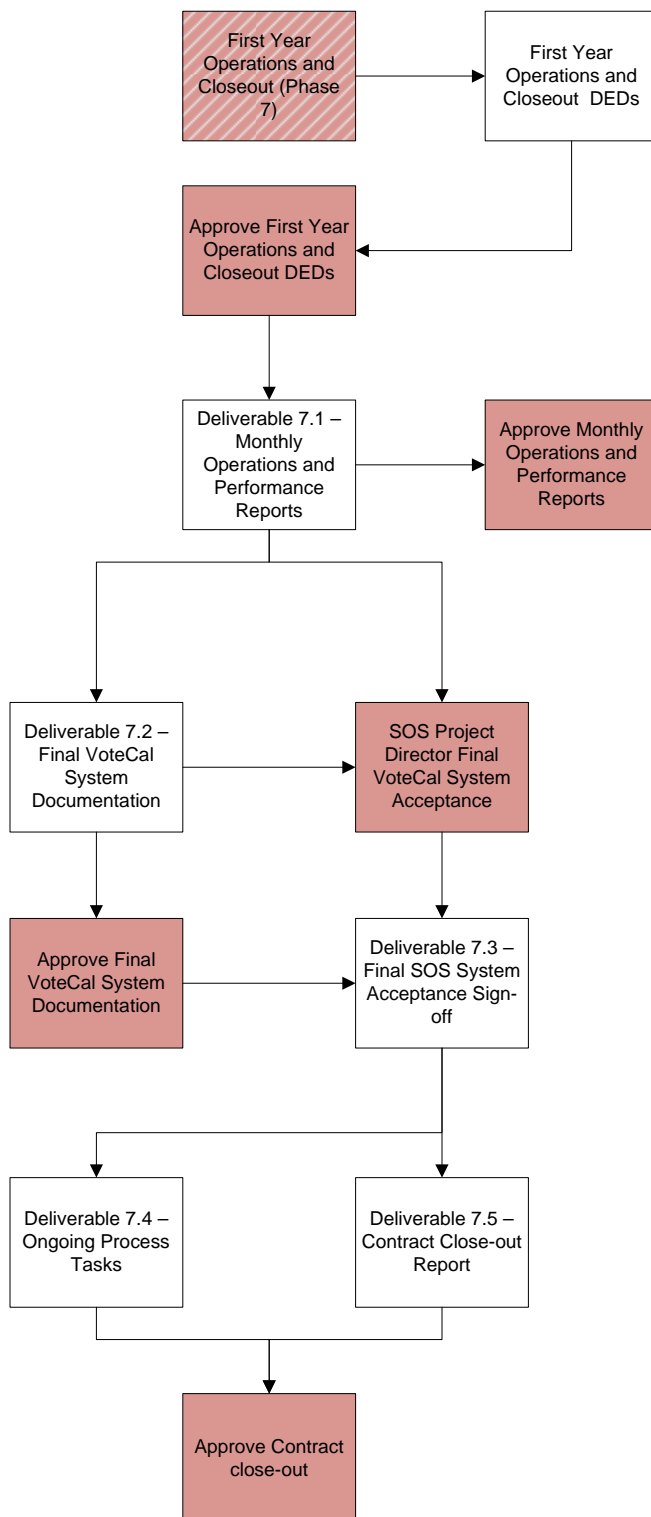
Pilot Deployment and Testing Phase (Pilot-2)



Deployment and Cutover Phase



First Year Operations and Closeout Phase



Appendix B – VoteCal Project Schedule

The VoteCal Project Schedule is incorporated into this appendix by reference. The schedule is maintained in Microsoft Project 2007 and will be submitted as a separate electronic file.